

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2005



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention
www.samhsa.gov

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INTRODUCTION

The Annual Synar Report (ASR) format provides the means for States to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the SAPT Block Grant (45 C.F.R. 96.130 (e)).

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project (0930-0222); 1 Choke Cherry Road, 7th Floor Rockville, Maryland 20857

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 08/31/2007.

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY xxxx Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY xxxx Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and on-site technical assistance consultation.

How the Synar report can help States

The information gathered for the Synar report can help States describe and analyze sub-State needs for program enhancements. These data can also be used to report to the State legislature and other State and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from State Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of State progress in implementing Synar, including State difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

¹The term State is used to refer to all the States and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State and Community Systems Development at (301) 443-0369 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or e-mail using the directory provided. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (301) 443-4456.

Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2004. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

Submit one signed original of the report, one additional copy, and an electronic version on either CD-ROM or 3.5" diskette to the Grants Management Officer at the address below:

Grants Management Officer
Office of Program Services, Division of Grants Management
Substance Abuse and Mental Health Services Administration

Regular Mail:

1 Choke Cherry Road, 7th Floor
Rockville, Maryland 20857

Overnight Mail:

1 Choke Cherry Road, 7th Floor
Rockville, Maryland 20850

FFY 2005: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT
42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.
SYNAR SURVEY SAMPLING METHODOLOGY
The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2005 is up-to-date and approved by the Center for Substance Abuse Prevention.
SYNAR SURVEY INSPECTION PROTOCOL
The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY2005 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: Arkansas
Name of Chief Executive Officer or Designee:
Signature of CEO or Designee:
Title: _____ Date Signed: _____
If signed by a designee, a copy of the designation must be attached

SECTION I: FFY 2004 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

42 U.S.C. 300x-26 requires the States to report information regarding the sale/distribution of tobacco products to individuals under age 18.

1. Please indicate any changes or additions to the State tobacco statute(s) relating to youth access since the last reporting year. Please attach a photocopy of the change(s) in the State law(s) if any was made since the last reporting year. (See 42 U.S.C. 300x-26)

a. Has there been a change in the *minimum sale age* for tobacco products?

☐ Yes ☒ No

If Yes, current minimum age: ☐ 19 ☐ 20 ☐ 21

b. Have there been any changes in State law that impact the State's *protocol for conducting Synar inspections*? ☐ Yes ☒ No

If Yes, indicate change (check all that apply):

☐ Changed to require that law enforcement conduct inspections of tobacco outlets

☐ Changed to make it illegal for youth to possess, purchase or receive tobacco

☐ Changed to require ID to purchase tobacco

☐ Other change(s) (please describe): _____

c. Have there been any changes in the law concerning *vending machines*?

☐ Yes ☒ No

If Yes, indicate change (check all that apply):

☐ Total ban enacted

☐ Banned from location(s) accessible to youth

☐ Locking device or supervision required

☐ Other change(s) (please describe): _____

d. Have there been any changes in State law that impact the following?

Licensing of tobacco vendors ☐ Yes ☒ No

Penalties for sales to minors ☐ Yes ☒ No

2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see 42 U.S.C. 300x-51) were made public within the State. (Check all that apply)

☐ Placed on file for public review

☒ Posted on a State agency Web site

☐ Notice published in a newspaper or newsletter

☐ Public hearing

☐ Announced in a news release, a press conference, or discussed in a media interview

- ☒ Distributed for review as part of the SAPT Block Grant application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☐ Other change(s) (please describe): _____

3. Identify the following agency or agencies. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130)

a. The State agency(s) designated by the Governor for oversight of the Synar requirements:

Office of Alcohol Drug Abuse Prevention (ADAP), Division of Behavioral Health, AR Department of Human Services (DHS)

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

b. The State agency(s) responsible for conducting random, unannounced Synar inspections:

Office of Alcohol Drug Abuse Prevention (ADAP)

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

c. The State agency(s) responsible for enforcing youth tobacco access law(s):

Arkansas Tobacco Control Board (ATCB)

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

4. Identify the State agency(s) responsible for tobacco prevention control activities.

Arkansas Department of Health, ADAP, and ATCB

Has the responsible agency changed since last year's Annual Synar Report?

☐ Yes ☒ No

a. Describe the coordination and collaboration that occur between the agency responsible for tobacco control and the agency responsible for oversight of the Synar requirements. The two agencies (check all that apply):

- ☐ Are the same
- ☐ Have a formal written memorandum of agreement
- ☒ Have an informal partnership
- ☐ Conduct joint planning activities
- ☐ Combine resources
- ☒ Have other collaborative arrangement(s) (please describe): Planning & training

5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2004. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e))

a. Which one of the following describes the enforcement of youth access to tobacco laws carried out in your State? (Check one category only)

- ☐ Enforcement is conducted exclusively by local law enforcement agencies.
- ☐ Enforcement is conducted exclusively by State agency(s).
- ☒ Enforcement is conducted by both local and State agencies.

b. The following items concern penalties imposed for violations of youth access to tobacco laws by **LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES**. Please fill in the number requested or indicate if these data are unavailable or the item is not applicable.

				If Available	
PENALTY	NOT APPLICABLE	NOT AVAILABLE	TOTAL	OWNERS	CLERKS
Number of <u>citations issued</u>			855		
Number of <u>finest assessed</u>		<input type="checkbox"/>	261		
Number of <u>permits/licenses suspended</u>	<input type="checkbox"/>	<input type="checkbox"/>	220		
Number of <u>permits/licenses revoked</u>	<input type="checkbox"/>	<input type="checkbox"/>	0		
Other (please describe):					

c. What additional activities are conducted in your State to support enforcement and compliance with State tobacco access law(s)? (Check all that apply)

- ☒ Merchant education and/or training
- ☐ Incentives for merchants who are in compliance (e.g., Reward and Reminder)
- ☒ Community education regarding youth access laws
- ☒ Media use to publicize compliance inspection results
- ☒ Community mobilization to increase support for retailer compliance with youth access laws
- ☐ Other activities (please list): _____

Briefly describe all checked activities:

The Regional Prevention Resource Centers (PRCs) are required to provide merchant education in their regions to assist with reducing sales of tobacco to underage youth. Also, each region may choose to have the list of merchants who did not sell to youth during the Synar checks reported in their local paper to recognize and congratulate those who were in compliance with the law.

Through the Master Settlement Agreement (MSA), Tobacco Prevention Education supports various grants for local prevention efforts and ADH's Hometown Health Initiative is coordinating and promoting local tobacco prevention coalitions throughout the state of Arkansas. The statewide media activities include paid print, radio and television advertising on topics involving the dangers of tobacco use, second-hand smoke and promotion of the tobacco cessation telephone line. The paid advertising targets both youth and adult audiences. Other media activities include press releases, radio/television news stories, editorials and event sponsorships (state and county fairs and other county festivals).

The community-based coalitions' media activities include print and radio advertising, letters to the editor and press releases on topics involving the dangers of tobacco use and second-hand smoke as well as promotion of local tobacco cessation resources. A small percentage has done some local television advertising and/or local news stories.

The Arkansas Department of Health funded 30 community program grants to develop and implement local tobacco control and prevention activities in SFY 04. The community program grants recipients' primary goals are to build/enhance coalitions with diverse partners, create tobacco-free environments, reduce youth access, and decrease advertising/promotion of tobacco products and promoting utilization of cessation resources.

The formation of support through local coalitions and local action have occurred in the 5 public health regions of Arkansas--Northwest, Northeast, Central, Southwest, and Southeast regions; and includes 44 of the 75 counties in Arkansas. All leaders and members of each coalition within the 5 public health regions have attended conferences and statewide educational trainings in tobacco prevention, and have received extensive information regarding the four goal areas. Many of the coalitions have a tobacco program coordinator and qualified staff members to ensure that the activities in their work plans are achieved.

Some of the coalition activities for SFY 04 include surveying and compliance checks of local retailers on the laws in regard to tobacco access and signage laws and providing merchant education workshops on state tobacco access and signage laws.

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2004. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130)

6. Has the sampling methodology changed from the previous year?

☒ Yes ☐ No

The State is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.

7. Please answer the following questions regarding the State's annual random, unannounced inspections of tobacco outlets. (See 45 C.F.R. 96.130(d)(2))

a. Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data?

☒ Yes ☐ No

If Yes, attach SSES summary tables 1, 2, 3 and 4 and go to Question 8. If No, continue to Question 7b.

8. Did the State's Synar survey use a list frame?

☒ Yes ☐ No

If Yes, answer the following questions about its coverage:

a. The calendar year of the latest frame coverage study: 7/1/2003-6/30/2004

b. Percent coverage from the latest frame coverage study: 99.8%

c. Was a new study conducted in this reporting period? ☒ Yes ☐ No

If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.

d. The calendar year of the next coverage study planned: 7/1/2004-6/30/2005

9. Has the Synar survey inspection protocol changed from the previous year?

☒ Yes ☐ No

The State is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey

Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.

- a. Provide the inspection period: From: 05/15/04 To: 07/17/04
MM/DD/YY MM/DD/YY
- b. Provide the number of youth inspectors used in the current inspection year:
90
- c. Fill out and attach Form 5 in Appendix A (Forms). *(Not required if the State used the Synar Survey Estimation System (SSES) to analyze the Synar survey data)*

SECTION II: FFY 2005 (Intended Use):

Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the States provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

1. In the upcoming year, does the State anticipate any changes in the:

Synar sampling methodology ☐ Yes ☒ No

Synar inspection protocol ☐ Yes ☒ No

If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the State is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.

2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2005. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

The Arkansas Tobacco Control Board (ATCB) is in the process of hiring two additional staff members on the Sales to Minors Division. As soon as they are on board and the programming has been completed a letter will be generated and mailed to each business where a compliance check was performed and they passed. The intent of this letter is to commend the retailers that are in compliance and encourage them to keep up the good work.

ATCB is also working on increased merchant education with the help of the new staff members and we will continue with our compliance checks on a daily basis. Possible legislation or regulation changes are being considered that may help with education efforts.

ATCB will continue our massive enforcement efforts as we are convinced our success is attributed primarily to our constant presence across the state.

3. Describe any challenges the State faces in complying with the Synar regulation. (Check all that apply)

- ☐ Limited resources for law enforcement of youth access laws
- ☐ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- ☐ Limitations in the State youth tobacco access laws
- ☐ Limited public support for enforcement of youth tobacco access laws

- ☐ Limitations on completeness/accuracy of list of tobacco outlets
- ☐ Limited expertise in survey methodology
- ☐ Laws/regulations limiting the use of minors in tobacco inspections
- ☒ Difficulties recruiting youth inspectors
- ☒ Geographic, demographic, and logistical considerations in conducting inspections
- ☒ Cultural factors (e.g., language barriers, young people purchasing for their elders)
- ☐ Issues regarding sources of tobacco under tribal jurisdiction
- ☒ Other challenges (*please list*): Outcry against ATCB by violating merchants to their legislators

Briefly describe all checked challenges:

Demographic characteristics, which affect the difficulty of enforcement, include the fact that Arkansas is basically a rural state with large distances between some outlets. Conducting an inspection of a single outlet can take a great deal of mileage, time and effort.

Another difficulty is that youth who reflect the demographics of the youth in a particular community are not always available to assist with compliance inspections. In rural areas, strangers or people of a different race stand out and merchants are less likely to sell to a stranger in a small town. There is an increasing Hispanic population and Spanish-speaking establishments, and there were some inspections we could not complete because we did not have a Spanish – speaking youth inspector and the establishments clerks only spoke Spanish. Parents often do not want their children involved, so ages 15 and 16 are hard to get.

With increased numbers of regulatory inspections have come increased numbers of violations. Many of these merchants have complained to their legislators about the laws and feeling they are unfairly targeted. Unfortunately, many legislators hearing from their constituents are quick to rally to their defense. This has created pressure on the ATCB to lessen the penalties for violators.

APPENDIX A: FORMS

SSES Table 1 (Synar Survey Estimates and Sample Sizes)

CSAP-SYNAR REPORT

State	AR
Federal Fiscal Year (FFY)	2005
Date	8/24/2004 13:11
Data	SYNAREXPORT.xls
Analysis Option	Stratified Clustered with FPC

Estimates

Unweighted Retailer Violation Rate	4.0%
Weighted Retailer Violation Rate	4.2%
Standard Error	0.6%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 5.2%]
Two-sided 95% Confidence Interval	[3.0%, 5.4%]
Design Effect	1.1
Accuracy Rate (unweighted)	88.0%
Accuracy Rate (weighted)	86.7%
Completion Rate (unweighted)	98.9%

Sample Size for Current Year

Effective Sample Size	460
Target (Minimum) Sample Size	1,071
Original Sample Size	1,196
Eligible Sample Size	1,052
Final Sample Size	1,040
Overall Sampling Rate	25.9%

**SSES Table 2 (Synar Survey Results by Stratum and by OTC/VM) STATE: AR
FFY: 2005**

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
All Outlets											
1	1	434	385	26	6	103	88	88	4	4.6%	
2	2	210	193	14	6	93	81	81	0	0.0%	
3	3	366	287	23	6	86	74	72	6	8.2%	
4	4	380	337	23	6	92	86	86	9	10.5%	
5	5	409	368	26	6	97	81	81	3	3.7%	
6	6	325	264	22	6	84	72	72	4	5.6%	
7	7	311	276	20	6	91	82	82	2	2.4%	
8	8	341	244	22	6	96	66	61	1	1.7%	
9	9	817	641	49	6	92	76	76	3	4.0%	
10	10	255	237	17	6	91	83	79	1	1.3%	
11	11	254	235	17	6	87	83	82	4	4.8%	
12	12	284	278	17	6	96	93	93	0	0.0%	
13	13	190	174	12	6	88	87	87	5	5.7%	
Total		4,576	3,919	288	78	1,196	1,052	1,040	42	4.2%	0.6%
Over the Counter Outlets											
1	1	415	372	26	6	96	85	85	4	4.8%	
2	2	208	193	14	6	93	81	81	0	0.0%	
3	3	365	287	23	6	86	74	72	6	8.2%	
4	4	377	337	23	6	92	86	86	9	10.5%	
5	5	375	359	26	6	86	79	79	3	3.8%	
6	6	314	260	22	6	78	71	71	4	5.6%	
7	7	308	273	20	6	89	81	81	2	2.4%	
8	8	302	240	22	6	80	65	60	1	1.7%	
9	9	732	632	49	6	86	75	75	3	4.0%	
10	10	232	231	17	6	84	80	77	1	1.3%	
11	11	250	235	17	6	87	83	82	4	4.8%	
12	12	268	272	17	6	92	91	91	0	0.0%	
13	13	190	174	12	6	88	87	87	5	5.7%	
Total		4,336	3,865	288	78	1,137	1,038	1,027	42	4.3%	0.6%
Vending Machines											
1	1	19	13	26	6	7	3	3	0	0.0%	
2	2	2	0	14	6	0	0	0	0	0.0%	
3	3	1	0	23	6	0	0	0	0	0.0%	
4	4	3	0	23	6	0	0	0	0	0.0%	
5	5	34	9	26	6	11	2	2	0	0.0%	
6	6	11	4	22	6	6	1	1	0	0.0%	
7	7	3	3	20	6	2	1	1	0	0.0%	
8	8	39	4	22	6	16	1	1	0	0.0%	
9	9	85	9	49	6	6	1	1	0	0.0%	
10	10	23	6	17	6	7	3	2	0	0.0%	
11	11	4	0	17	6	0	0	0	0	0.0%	
12	12	16	6	17	6	4	2	2	0	0.0%	
13	13	0	0	12	6	0	0	0	0	0.0%	
Total		240	54	288	78	59	14	13	0	0.0%	0.0%

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: AR
FFY: 2005

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	1040	
Total (Eligible Completes)			1040
N1	In operation but closed at time of visit	1	
N2	Unsafe to access	9	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion (see below)	2	
Total (Eligible Noncompletes)			12
I1	Out of Business	45	
I2	Does not sell tobacco products	24	
I3	Inaccessible by youth	65	
I4	Private club or private residence	0	
I5	Temporary closure	0	
I6	Unlocatable	7	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	3	
I9	Duplicate	0	
I10	Other ineligibility	0	
Total (Ineligibles)			144
Grand Total			1196

Give reasons and counts for other noncompletion:

Reason	Count
Hispanic run establishment. Did not speak any English.	2

SSES Table 4 (Synar Survey Inspection Results by Youth Inspector Characteristics)

STATE: AR
FFY: 2005

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	1	4	0
	15	24	346	10
	16	18	183	8
	17	0	0	0
	18	0	0	0
	Subtotal	43	533	18
Female	14	0	0	0
	15	25	267	7
	16	21	236	17
	17	1	4	0
	18	0	0	0
	Subtotal	47	507	24
Other		0	0	0
Grand Total		90	1040	42

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	2.9%	2.6%	2.8%
16	4.4%	7.2%	6.0%
17	0.0%	0.0%	0.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	3.4%	4.7%	4.0%

APPENDIX B

STATE: AR

FFY: 2005

SYNAR SURVEY SAMPLING METHODOLOGY

1. What type of sampling frame is used?

- ☒ List frame *(Go to Question 2)*
☐ Area frame *(Go to Question 3)*
☐ List-assisted area frame *(Go to Question 2)*

2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). *(After completing this question, go to Question 4)*

Use the corresponding number to indicate Type of Source in the table below:

- | | |
|---|--|
| 1 – Statewide commercial business list | 4 – Statewide retail license/permit list |
| 2 – Local commercial business list | 5 – Statewide liquor license/permit list |
| 3 – Statewide tobacco license/permit list | 6 – Other |

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
ATCB	3	Tobacco Permit List	Permit list updated continually and permits expire annually.

3. If an area frame is used, describe how area sampling units are defined and formed.

- a. Is any area left out in the formation of the area frame? ☐ Yes ☐ No
If Yes, what percentage of the State's population is not covered by the area frame?
 _____%

4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey?

- ☒ Yes ☐ No

If No, please indicate the reason they are not included in the Synar survey.

- ☐ State law bans vending machines
- ☐ State law bans vending machines from locations accessible to youth
- ☐ State has SAMHSA approval to exempt vending machines from the survey
- ☐ Other (please describe): _____

5. Which category below best describes the sample design? (Check only one)

- ☐ **Census** (STOP HERE: Appendix B is complete)

Unstratified State-wide sample:

- ☐ Simple random sample (go to Question 9)
- ☐ Systematic random sample (go to Question 6)
- ☐ Single-stage cluster sample (go to Question 8)
- ☐ Multi-stage cluster sample (go to Question 8)

Stratified sample:

- ☐ Simple random sample (go to Question 7)
- ☐ Systematic random sample (go to Question 6)
- ☐ Single-stage cluster sample (go to Question 7)
- ☒ Multi-stage cluster sample (go to Question 7)

- ☐ **Other** (please describe and go to Question 9): _____

6. Describe the systematic sampling methods. (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

The State is divided into Primary Sampling Units (PSUs) that did not have more than a 2-fold variation in size. The first stage was to be a simple random selection of a **fixed number** of PSUs from each of the 13 Prevention Resource Regions. Then a second stage was to be a simple random selection of tobacco outlets from the selected PSUs at a **constant rate**.

The **sample frame** consists of the Arkansas Tobacco Control Board's list of the 4,576 tobacco retail permit holders in the state of Arkansas as of May 6, 2004. A copy of the sampling frame may be accessed at the Arkansas Tobacco Control Board web site: http://www.arkansas.gov/atcb/permit_holders_search.html. The list is updated continually and posted periodically on the Internet. Although outlets found to be out of business or not selling tobacco in previous studies have been deleted from the sampling frame, the frame suffers from **over coverage**, meaning some outlets listed on the frame no longer sell tobacco or are out of business. The data base did not indicate which of the outlets had "Members Only", "Over 21", or "Employees Only" signs which would have indicated that they were inaccessible to youth, so these also contributed to the over coverage of the frame. The estimated **accuracy** of the frame, based on the un-weighted ratio of the eligible outlets to total sample is 88 percent, higher than the 84 percent accuracy of the previous year.

Since the sampling frame was set on May 6, 2004 and the average date of inspection was June 8, 33 days had elapsed in which new outlets could begin selling tobacco. There are approximately 500 new additions yearly, so an estimated $500 \times 33 \text{ days} / 365 \text{ days} = 45$ establishments would not be included in the frame, giving an **estimated coverage** of the frame of 99 percent. $100 \times (4,576 \text{ outlets in frame} / (4,576 + 45 \text{ outlets in business})) = 99 \text{ percent}$.

The sample frame uniformly consisted of individual vending machines. In cases where an establishment on the permit list had more than one vending machine listed for a single permit (the machines were listed as a group) the listing was expanded so that each machine was assigned an individual number, i.e. 1 of 3, 2 of 3, etc.

7. Provide the following information about stratification

a. Provide a full description of the strata that are created.

The state was geographically stratified into 13 strata – Alcohol and Drug Abuse Prevention Resource Regions. Then PROC RANK of SAS V9.0 used longitude to divide the outlets of counties into groups with between 13 and 26 outlets. These groups became PSUs. Thus, the outlets of the state were divided into 288 geographically defined PSUs and assigned, by county, to the 13 PRC regions, which are contiguous clusters of counties. The 13 PRC Regions are the first sampling strata.

b. Is clustering used within the stratified sample?

☒ **Yes** (go to Question 8)

☐ **No** (go to Question 9)

8. Provide the following information about clustering

a. Provide a full description of how clusters are formed. (If multi-stage clusters are used, give definitions of clusters at each stage.)

The **random selection process** began with the allocation of the 4,576 tobacco outlets to PSUs. These 78 PSUs form the second sampling stratum. Some clusters (PSUs) are a single county, and some are a fraction of a county based on longitude, so that each cluster has between 13 and 26 outlets. Counties with fewer than 26 tobacco outlets were designated PSUs. Addresses of the outlets in the remaining counties were assigned latitude and longitude values by the geocoding software MAPMARKER. Addresses that did not match the MAPMARKER database were assigned the latitude and longitude of the centroid of their zip code. PROC SURVEYSELECT of SAS V9.0 selected 6 PSUs

from each of the 13 PRC Regions using the SRS method (Simple Random Sampling).

- b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.**

The first stage of sampling is the selection of 6 PSUs from each stratum using SRS (Simple Random Sampling). The second stage is selection of outlets from sampled PSUs at a constant rate via SRS. PROC SURVEYSELECT used the SRS method with fixed probability of 0.938 to select 1,196 survey outlets from the PSUs selected in the first round. The sample of 1,196 included a 10 percent reserve. There was no separate reserve sample.

- 8. Provide the formulae for determining the effective, target, and original outlet sample sizes.**

Based on last year's violation rate of 17 percent, the **effective sample size** needed to meet the SAMHSA precision requirement of a standard error less than 1.82 percent is 416.3. Effective sample size is the minimum sample needed with a simple random sampling from an infinite population = $p*(1-p)/0.0182^2$, where p is the expected violation rate (last year's rate).

The **target sample size** is the effective sample size adjusted for design effects. Two design effects apply: first a finite population correction decreases the necessary sample size:

$$\begin{aligned}n' &= n/(1+n/\text{population}) \\n' &= 416.3/(1+416.3/4576) \\n' &= 381.6\end{aligned}$$

This is then multiplied by the design effect expected from sampling in clusters. The design effect from the previous year could not be used because we were using a completely new sampling scheme. Instead, we estimated the expected design effect with the following formula:

$$\text{Deff} = \{1+(m-1)\rho\}(1+CV_w^2)$$

where m is the average cluster size, ρ is the intra-class correlation and CV is the coefficient of variation of the sampling weights. An average cluster size of 15.1, an intraclass correlation of 0.05 and a coefficient of variation of 0.37 gives a design effect of 2.33.

The final **target sample size** is:

$$n_t = Deff * n'$$
$$889.1 = 2.33 * 381.6$$

Then the sample size needed to achieve the target, called the **original sample size**, is computed from the expected accuracy rate, r_i , and the completion rate, r_c , by the formula

$$n_o = n_t / (r_i r_c)$$
$$1071.0 = 889.1 / (0.841 * 0.987)$$

Last year's accuracy = 84.1 percent, completion rate = 98.7 percent.

A 10 percent reserve covered errors or unexpected changes in the various estimates to give an **actual sample size** of 1,178.

$$n_a = 1.10 * n_o$$
$$1178 = 1.1 * 1071.0$$

Rounding to integer numbers in each PSU resulted in a gain of 18 to give an actual sample size of 1,196.

APPENDIX C

STATE: AR
FFY: 2005

SYNAR SURVEY INSPECTION PROTOCOL

Note: Attach a copy of the inspection form and protocol used to record the inspection result.

1. How does the State Synar survey protocol address the following?

a. Consummated buy attempts?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

b. Youth inspectors to carry ID?

- | | |
|--|--|
| <input type="checkbox"/> Required | <input checked="" type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

c. Adult inspectors to enter the outlet?

- | | |
|--|--|
| <input type="checkbox"/> Required | <input checked="" type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

d. Youth inspectors to be compensated?

- | | |
|--|---|
| <input type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input checked="" type="checkbox"/> Not specified in protocol |

2. Identify the agency(s) or entity(s) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply)

- ☐ Law enforcement agency(s)
☐ State or local government agency(s) other than law enforcement
☒ Private contractor(s)
☐ Other

List the agency name(s): ADAP's Regional Prevention Resource Centers

3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement issue warnings or citations to retailers found in violation of the law at the time of the inspection)?

- ☐ Always ☐ Usually ☐ Sometimes ☐ Rarely ☒ Never

Synar inspections are not tied to enforcement actions. Synar violations are shared with the enforcement agency, ATCB, which treats these as a citizen complaint and follows up with an official inspection whenever schedule allows. Notifications of non-compliance are sent to the ATCB after the compliance checks are conducted. The ATCB gives priority

consideration of conducting official inspections on those outlets that are reported from Synar as being out of compliance with the tobacco laws. Due to their limited resources to enforce the law throughout the entire state, this information assists ATCB agents to target outlets who are reportedly not complying with the tobacco laws.

4. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.

The PRC Coordinators recruit the youth from schools and/or varied community and faith based organizations. They use youth volunteers who are and appear to be ages 15 or 16, whose parents support their involvement in this effort.. Training includes role-playing and instructions on how to fill out inspection form. Adult supervisors include the PRC Coordinators, their staff, or volunteers who are members of community coalitions. Adult supervisors drive the youth to inspection points.

5. Are there specific legal or procedural requirements instituted by the State to address the issue of youth inspectors' immunity when conducting inspections?

a. Legal ☒ Yes ☐ No (If Yes, please describe):

The law states that youth performing inspections are exempt.

b. Procedural ☒ Yes ☐ No (If Yes, please describe):

The Director of ADAP provides a letter which the adult supervisor carries with them to show law enforcement that the youth is performing an inspection in case they are detained.

6. Are there specific legal or procedural requirements instituted by the State to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?

a. Legal ☐ Yes ☒ No (If Yes, please describe):

b. Procedural ☒ Yes ☐ No (If Yes, please describe):

If the area appears unsafe, the form states that the inspection should not be completed.

7. Are there any other legal or procedural requirements the State has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?

a. Legal ☐ Yes ☒ No (If Yes, please describe):

b. Procedural ☒ Yes ☐ No (If Yes, please describe):

Youth must be and appear to be 15 or 16 years old.

APPENDIX D

STATE: AR
FFY: 2005

List Sampling Frame Coverage Study *(LIST FRAME ONLY)*

1. Calendar year of the coverage study: 7/1/2003-6/30-2004

2. Percent coverage found: 99.8%

(Provide calculation of the percent coverage)

Percent coverage = $100 * 4576 \text{ vendors in sampling frame} / (4576 + 7 \text{ establishments not on list})$

3. Provide a description of the coverage study methods and results.

Permit list contains 4576 vendors. During the indicated time period, ATCB cited 97 establishments for selling without a permit. Ninety of these were already on the vendor list, but permits had expired. Only 7 establishments were not contained in the sampling frame.



**ARKANSAS DEPARTMENT OF HUMAN
SERVICES
DIVISION OF BEHAVIORAL HEALTH
SERVICES
ALCOHOL AND DRUG ABUSE PREVENTION**

Synar
Inspection Protocol

Youth Recruitment

1. Only adolescents ages 15-16 will be recruited to conduct the study.
2. The age, race, and gender distribution of youth participants should reflect the distribution of the county.
3. Attempt to recruit enough youth so that no youth should make more than 9 visits.
4. Youth should look and dress their age.

Youth Training Documenting Participants

1. Record data on youth participants and adults on appropriate sheets.
2. Obtain parental consent for each youth participating in the survey.
3. Keep parental consent forms on file at the agency conducting the checks.
4. Provide adult volunteers assisting in the checks with authorization letters from DHS/DBHS/ADAP.
5. Be sure that each participant, WHO MADE THE PURCHASE, has initialed the form.
6. Return every single outlet form to ADH Health Statistics, regardless of visit or non-visit.

Training of Minors

1. Remind of the purpose, and goal of the survey.
2. Make sure that all participants understand the procedures and protocol.
3. Review how to make a “buy”.
4. Instruct youth not to take their IDs into the outlet.
5. Instruct youth that if the clerk asks his/her age, the youth is to give his/her exact age.
6. Instruct youth not to attempt to purchase tobacco in stores if they know someone who works there or is present at the time of visit.
7. Prepare participants for what to expect.
8. Review the inspection forms and how they are to be completed.

Reasons for Ineligibility or Non-Visit

Does not sell
Inaccessible to youth
No longer in business
Unable to locate
Not open during day

Seasonal business
Restricted Access
Unsafe
Broken vending machine

Data Collection Over the Counter

1. The adult volunteer will locate and drive the youth volunteer to the establishment designated for OTC inspection.
2. The adult volunteer will park out of sight.
4. The youth volunteer will enter the establishment. The youth will not take forms into the store.
5. If the tobacco products are located away from the counter, the youth will choose a particular product and carry it to the clerk for check out.
6. If the tobacco products are located behind the counter, the youth will ask the clerk for assistance in obtaining the product.
7. The youth can choose to purchase other items, such as gum or candy, along with the tobacco product.
8. If the clerk asks the youth volunteer his/her age, the youth volunteer will give his exact age.
9. If the clerk makes the sale, the youth volunteer will take the tobacco product from the establishment, return to the car, give the product to the adult volunteer and provide the necessary information to complete the inspection form.
10. The adult volunteer will document all tobacco products purchased with the outlet code on the pack and date of purchase.
11. If the clerk refuses the sale, the youth will leave the establishment and note that there was no sale on the inspection form.
12. Forward to ADAP all properly labeled tobacco products purchased as a result of Synar compliance checks.
13. Fax a copy of completed inspection form denoting a sale to the Arkansas Tobacco Control Board.

Vending Machines Special Instructions for Vending Machines

1. The adult volunteer will locate and drive the youth volunteer to the retail outlet designated for vending machine inspections.
2. The youth volunteer is to enter establishment and seek out vending machine. If the youth volunteer cannot find the vending machine, he/she is to ask the attendant where the vending machine is located.
3. The sample frame will uniformly consist of individual vending machines. In cases where the machines are listed as a group, the listing will be expanded so that each machine will be assigned an individual number, i.e. 1 of 3, 2 of 3, etc. The inspectors will attempt to identify all vending machines in a premise and number them left to right, going clockwise from the entrance point. The inspection will be conducted only on the individual vending machine or machines that are listed in the sample. If, for example, the sample form indicates to inspect machine 1 of 2, the inspector will inspect the first machine encountered on the left of the entrance, sweeping around the

establishment in the clockwise direction.

4. Upon identifying the vending machine, the youth volunteer is to purchase tobacco from the vending machine unless attendant questions the youth volunteer.
 - If asked about his/her age, the youth volunteer will respond with his/her actual age and unless told by the attendant that they cannot purchase, the youth volunteer is to purchase the tobacco from the vending machine.
 - If told he/she cannot purchase, the youth volunteer will leave the outlet.
5. Once the youth volunteer has completed the purchase, the youth will exit the outlet, return to the car, give the cigarettes to the adult volunteer and provide the necessary information to complete the inspection form.

SALE

VENDING MACHINE

2004 SYNAR DATA COLLECTION FORM

Note: To be completed immediately after each check. Answer all questions completely

NO SALE

PSU «PSU»

«Name»
«PhysicalAddress1»
«PhysicalCity», «PhysicalState» «PhysicalZip»

Inspect # ____ of «NUMBER» machines
Permit#: «PermitNumber»

DATE OF CHECK (MONTH, DAY, YEAR)
____/____/____
Time of check (AM or PM)

NAME OF ADULT ESCORT
TELEPHONE: () _____

OUTLET NOT LOCATED

Owner called

Address mapped

EXPLAIN

STOP

OUTLET LOCATED

TYPE OF OUTLET

1. Gas Station only

2. Convenience (with gas)

3. Convenience (no gas)

4. Small food store (deli)

5. Supermarket/Grocery store

6. Drug store/pharmacy

7. Liquor store

8. Discount store

9. Hotel/motel

10. Restaurant

11. Tobacco outlet

12. Bar/club

13. Other (describe): _____

OUTLET NOT INSPECTED

Must provide reason

1. Not in business

2. No longer has working vending machine

3. Access restricted ("Members Only" "Over 21")

4. Appeared unsafe

STOP

If reason 1, 2,3, or 4

5. Closed-return during business hours

6. Youth knew person-return with another youth

7. Police present-return another time

First Attempt _____ Second Attempt _____ Third Attempt _____
Date _____ Date _____

OUTLET INSPECTED

YOUTH'S INITIALS: _____
(Max one youth per form)

YOUTH'S GENDER:

FEMALE

MALE

YOUTH'S AGE: _____
YOUTH'S RACE: White Black Hispanic Asian Other

STATUS OF INSPECTION

(Check one - Also mark box on top of page!)

Sale Occurred

Purchase Attempted Sale Refused

Was the machine under supervision?

YES

NO

Did minor ask employee for change to purchase from vending machine?

YES

NO

Were you asked your age?

YES

NO

Were you asked for identification?

YES

NO

Was there a NO SALES TO MINORS sign posted at the vending machine?

YES

NO

TYPE OF TOBACCO ATTEMPTED TO BUY:

Cigarettes

Cigars

Bidis

Smokeless/Spit Tobacco

Complete this section if SALE OCCURRED:

If necessary, the adult escort may wish to go back into store to collect this information.

Location of Vending Machine: _____
Stamp #: _____ 2004 (PURPLE) OR _____ 2005 (ORANGE)


COMMENTS:

☐ SALE

2004 OTC SYNAR SURVEY

NO SALE ☐*Note: To be completed immediately after each check. Answer all questions completely*

PSU «psu»

<p>«Name» «PhysicalAddress1» «PhysicalCity», «PhysicalState» «zip» Owner: «Owner» «phone»</p> <p>PERMIT#: «<u>PermitNumber</u>»</p>	<p>DATE OF CHECK (MONTH, DAY, YEAR) ____/____/____</p> <p>Time of check _____ (AM or PM)</p>																				
<p>NAME OF ADULT _____ TELEPHONE: () _____</p>																					
<p><input type="checkbox"/> OUTLET NOT LOCATED</p>																					
<p><input type="checkbox"/> Owner called <input type="checkbox"/> Address mapped EXPLAIN _____</p>																					
<p><input type="checkbox"/> OUTLET LOCATED</p>																					
<p>TYPE OF OUTLET</p> <div style="border: 1px solid black; width: 40px; height: 30px; margin: 5px auto;"></div> <ol style="list-style-type: none">1. Gas Station only2. Convenience (with gas)3. Convenience (no gas)4. Small food store (deli)5. Supermarket/Grocery store6. Drug store/pharmacy7. Liquor store8. Discount store9. Hotel/motel10. Restaurant11. Tobacco outlet12. Bar/club13. Other (describe): _____	<p>OUTLET NOT INSPECTED</p> <p><i>Must provide reason</i></p> <div style="border: 1px solid black; width: 40px; height: 30px; margin: 5px auto;"></div> <ol style="list-style-type: none">1. Not in business2. No longer sells tobacco3. Access restricted ("Members Only" "Over 21")4. Appeared unsafe <div style="text-align: center; margin: 10px 0;"><p><i>If reason 1, 2, 3, or 4</i></p></div> <ol style="list-style-type: none">5. Closed-return during business hours6. Youth knew person-return with another youth7. Police present-return another time <p>First Attempt <input type="checkbox"/> Second Attempt <input type="checkbox"/> Third Attempt <input type="checkbox"/></p> <p style="margin-left: 100px;">Date _____ Date _____</p>																				
<p style="text-align: center;">OUTLET INSPECTED</p> <p>YOUTH'S INITIALS: _____ YOUTH'S GENDER: <input type="checkbox"/> FEMALE YOUTH'S AGE: _____</p> <p style="margin-left: 100px;"><i>(Max one youth per form)</i> <input type="checkbox"/> MALE YOUTH'S RACE: White Black Hispanic Asian Other</p> <p style="text-align: center;">STATUS OF INSPECTION</p> <p style="text-align: center;"><i>(Check one - Also mark box on top of page!)</i></p> <p><input type="checkbox"/> Sale Occurred <input type="checkbox"/> Purchase Attempted Sale Refused</p> <p style="text-align: center;">HOW WAS THE TOBACCO PLACED FOR SALE?</p> <p><input type="checkbox"/> Picked up tobacco without asking (self-serve) <input type="checkbox"/> Had to ask clerk for tobacco (behind the counter)</p> <p>Were you asked your age? <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>Were you asked for identification? <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>Was there a NO SALES TO MINORS sign posted at the point of purchase? <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>Was a Tobacco Vending Machine Present? <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>TYPE OF TOBACCO ATTEMPTED TO BUY: <input type="checkbox"/> Cigarettes <input type="checkbox"/> Cigars <input type="checkbox"/> Bidis <input type="checkbox"/> Smokeless/Spit Tobacco</p>																					
<p style="text-align: center;">Complete this section if SALE OCCURRED:</p> <p style="text-align: center;"><small>If necessary, the adult escort may wish to go back into store to collect this information. CIRCLE ONE:</small></p> <table style="width: 100%; border: none;"><tr><td style="width: 25%;">Was the clerk</td><td style="width: 12.5%;">Female (1)</td><td style="width: 12.5%;">Male (2)</td><td style="width: 25%;"></td><td style="width: 25%;"></td></tr><tr><td>How old was the clerk?</td><td>Teenager (1)</td><td>Young Adult (2)</td><td>Adult (3)</td><td>Senior (4)</td></tr><tr><td>Height of the clerk</td><td>Short (1)</td><td>Average (2)</td><td>Tall (3)</td><td></td></tr><tr><td>Race of clerk</td><td>Black (1)</td><td>White (2)</td><td>Hispanic (3)</td><td>Asian (4) Other (5)</td></tr></table> <p>Hair color: _____</p> <p>Clerk's Name (only if available without asking): _____</p> <p>Other distinguishing characteristics (tattoo's, etc) Describe: _____</p> <p>Location of sales counter: _____</p> <p>COMMENTS: _____</p>		Was the clerk	Female (1)	Male (2)			How old was the clerk?	Teenager (1)	Young Adult (2)	Adult (3)	Senior (4)	Height of the clerk	Short (1)	Average (2)	Tall (3)		Race of clerk	Black (1)	White (2)	Hispanic (3)	Asian (4) Other (5)
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Checked for accuracy by Prevention Resource SYNAR Coordinator _____ Date Sent to Tobacco Control Board _____